

04/24/01

04-25-01

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Approved for

PTO/SB/05 (4/98)
rough 09/30/2000. OMB 0651-0032

Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

Only for new non-provisional applications under 37 C.F.R. § 1.53(B)

Attorney Docket No.	N19.12-0054
First Inventor or Application Identifier	Kambe et al.
Title	ABRASIVE PARTICLES FOR SURFACE POLISHING
Express Mail Label No.	EL844346016US

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.**Address To:** Assistant Commissioner for Patent
Box Patent Application
Washington, DC 20231

1. ☒ *Fee Transmittal Form e.g., PTO/SB17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Sheets **30**]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the invention
- Brief Summary of the invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. § 113) [Total Sheets **3**]
- Oath or Declaration [Total Sheets **2**]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 C.F.R. §§1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. ☐ Nucleotide and/or Amino Acid Sequence Submission
(If applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (Identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
9. ☐ English Translation Document
10. ☐ Information Disclosure Statement (IDS/PTO - PTO) ☐ Copies of IDS
11. ☒ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
13. ☐ *Small Entity Statement(s) ☒ Statement filed in prior application
(PTO/SB/09-12) Status still proper and desired
14. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
15. ☐ Request and Cert. Under 35 USC 122 (Non-Pub)
16. ☐ Other: _____

* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☒ Continuation ☐ Divisional ☐ Continuation-in part (CIP) of prior application No: 08/961,735

Prior application information:

Examiner C. KoslowGroup/Art Unit: -1755

FOR CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

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Name (Print/type)	Peter S. Dardi, Ph.D.	Registration No. (Attorney/Agent)	39,650
Signature	<i>Peter S. Dardi</i>	Date	4/24/01

FEE TRANSMITTAL		Complete if Known																																																																																									
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1. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fee required under 37 C.F.R. § 1.16 and 1.17, including any petition fee, and credit any over payments to Deposit Account No. <u>23-1123</u> . Westman, Champlin & Kelly, P.A. 2. <input checked="" type="checkbox"/> Check Enclosed		3. ADDITIONAL FEES <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity Fee</th> <th style="text-align: left;">Small Entity Fee</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: left;">Fee Paid</th> </tr> <tr> <th>Code (\$)</th> <th>Code (\$)</th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>105 130</td> <td>205 65</td> <td>Surcharge - Late filing fee or oath</td> <td></td> </tr> <tr> <td>127 50</td> <td>227 25</td> <td>Surcharge - Late provisional Filing Fee or cover sheet</td> <td></td> </tr> <tr> <td>139 130</td> <td>139 130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>147 2,520</td> <td>147 2,520</td> <td>For Filing a Request for Reexamination</td> <td></td> </tr> <tr> <td>115 110</td> <td>215 55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>116 390</td> <td>216 195</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>117 890</td> <td>217 445</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>118 1,390</td> <td>218 695</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128 1,890</td> <td>280 945</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>120 310</td> <td>220 155</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121 270</td> <td>221 135</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>148 110</td> <td>248 55</td> <td>Terminal Disclaimer Fee</td> <td></td> </tr> <tr> <td>140 110</td> <td>240 55</td> <td>Petition to Revive - unavoidable</td> <td></td> </tr> <tr> <td>141 1,240</td> <td>241 620</td> <td>Petition to Revive - unintentional</td> <td></td> </tr> <tr> <td>142 1,270</td> <td>242 650</td> <td>Utility/Reissue issue fee (inc. advance copies)</td> <td></td> </tr> <tr> <td>143 470</td> <td>243 250</td> <td>Design issue fee (inc. advance copies)</td> <td></td> </tr> <tr> <td>122 130</td> <td>122 130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123 50</td> <td>123 50</td> <td>Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126 180</td> <td>126 180</td> <td>Submission of Information Disclosure Statement</td> <td></td> </tr> <tr> <td>581 40</td> <td>581 40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> </tbody> </table>		Large Entity Fee	Small Entity Fee	Fee Description	Fee Paid	Code (\$)	Code (\$)			105 130	205 65	Surcharge - Late filing fee or oath		127 50	227 25	Surcharge - Late provisional Filing Fee or cover sheet		139 130	139 130	Non-English specification		147 2,520	147 2,520	For Filing a Request for Reexamination		115 110	215 55	Extension for reply within first month		116 390	216 195	Extension for reply within second month		117 890	217 445	Extension for reply within third month		118 1,390	218 695	Extension for reply within fourth month		128 1,890	280 945	Extension for reply within fifth month		120 310	220 155	Filing a brief in support of an appeal		121 270	221 135	Request for oral hearing		148 110	248 55	Terminal Disclaimer Fee		140 110	240 55	Petition to Revive - unavoidable		141 1,240	241 620	Petition to Revive - unintentional		142 1,270	242 650	Utility/Reissue issue fee (inc. advance copies)		143 470	243 250	Design issue fee (inc. advance copies)		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Petitions related to provisional applications		126 180	126 180	Submission of Information Disclosure Statement		581 40	581 40	Recording each patent assignment per property (times number of properties)	
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Signature Peter S. Dardi
(Peter S. Dardi)

Reg. No. 39,650

Date 4-24-2001

Deposit Account No. 23-1123